



SEC Graduate Program

July 26 – 29, 2011

Tuesday, July 26, 2011

<i>Location:</i>	<i>Multipurpose Room, Lower Level, SEC</i>
8:00 – 8:45	Registration and Continental Breakfast
8:45 – 9:15	Program Introduction Speakers: <i>Kathy Floyd</i> , Deputy Director, Investor Education SEC Office of Investor Education and Advocacy <i>Michelle Greene</i> , Vice President Head of Corporate Responsibility, NYSE; Executive Director, NYSE Foundation
9:15 – 10:00	Welcoming Remarks Speakers: <i>Lori Schock</i> , Director SEC Office of Investor Education and Advocacy Introducing: <i>Elisse Walter</i> , Commissioner U.S. Securities and Exchange Commission
10:00 – 10:10	Group Picture/Break
10:10 – 10:40	Overview of the SEC and the SEC Graduate Program Speaker: <i>Kathy Floyd</i> , Deputy Director, Investor Education SEC Office of Investor Education and Advocacy
10:40 – 11:10	MarketWatch Tour Speaker: <i>Alton Harvey</i> , Office Chief for MarketWatch SEC Division of Trading and Markets

11:10 – 12:00	Division of Enforcement/OCIE Speaker: <i>Donna Norman</i> , Senior Counsel SEC Division of Enforcement <i>Laura Magyar</i> , Branch Chief SEC Office of Compliance Inspections and Examinations
<i>Location:</i>	<i>9th Floor Terrace</i>
12:00 – 1:00	Lunch Presentation Speaker: <i>Kurt Gresenz</i> , Senior Advisor and Branch Chief, International Enforcement SEC Office of International Affairs
1:00 – 1:10	Break
1:10 – 2:00	Corporation Finance Speaker: <i>Jonathan Ingram</i> , Deputy Chief Counsel SEC Division of Corporation Finance
2:00 – 2:10	Break
2:10 – 3:00	Trading and Markets Speaker: <i>Lourdes Gonzales</i> , Assistant Chief Counsel for Sales Practices SEC Division of Trading and Markets
3:00 – 3:10	Break
3:10 – 4:00	Investment Management Speaker: <i>Doug Scheidt</i> , Associate Director and Chief Counsel SEC Division of Investment Management
4:00 – 4:20	Day One Wrap-Up

Wednesday, July 27, 2011

Location: Media Room, Department of the Treasury

8:30 – 9:00 Check-in, Continental Breakfast, and Day 2 Overview

9:00 – 9:50 **Department of the Treasury, Office of Financial Education**

Speaker: *Dubis Correal*, Director, Office of Financial Education
Department of the Treasury

9:50 – 10:40 **Department of Education**

Speaker: *Dan Madzelan*, Director of Policy and Budget Information,
Office of Postsecondary Education
Department of Education

10:40 – 10:50 Break

10:50 – 11:40 **Department of the Treasury, Bureau of the Public Debt**

Speakers: *Deanna Savage*, Financing Specialist, Office of Financing

Alex Kim, Financial Systems Analyst, Office of Financing

Deborah Kerwin Darwish, Program and Management
Assistant, Office of Financing

Kristina Yeh, Financial Systems Analyst, Office of Financing

Lateefah Thompson, Public Affairs Specialist, Office of
Public and Legislative Affairs

11:40—12:10 *Travel to FINRA (Short Walk)*

12:10—1:00 **Overview of FINRA: Purpose and Operations**

Speaker: *Philip Shaikun*, Associate Vice President and Associate
General Counsel, Office of General Counsel
FINRA

1:00 – 1:10 Break

1:10 – 2:00	FINRA Investor Education Foundation Speaker: <i>Gerri Walsh</i> , Acting President, FINRA Investor Education Foundation Vice President and Acting Director of Investor Education, FINRA
2:00 – 2:45	<i>Travel to SEC (Travel by bus)</i>
<i>Location:</i>	<i>Conference Room 7000, SEC</i>
2:45 – 3:30	Division of Risk, Strategy, and Financial Innovation Speaker: <i>Adam Yonce</i> , Office of the Sell-Side SEC Division of Risk, Strategy, and Financial Innovation
3:30 – 4:20	Overview of the CFTC Speaker: <i>Mark Higgins</i> , Counsel, Office of General Counsel Commodity Futures Trading Commission
4:20 – 4:40	Day Two Wrap-Up

Thursday, July 28, 2011

Location: 9th Floor Terrace

8:00 – 9:00 Check-in, Continental Breakfast, and Day 3 Overview

Location: 10th Floor Ceremonial Room

9:00 – 10:00 **Discussion with SEC Chairman**

Speaker: *Mary Schapiro*, Chairman
U.S. Securities and Exchange Commission

10:00–10:15 Break

10:15 –10:45 **Office of Legislative and Intergovernmental Affairs**

Speaker: *Eric Spitler*, Counselor to the Chairman and Director
SEC Office of Legislative and Intergovernmental Affairs

10:45 –11:00 Break

Location: 9th Floor Terrace

11:00 – 11:30 **Investor.gov**

Speaker: *Kathy Floyd*, Deputy Director, Investor Education
SEC Office of Investor Education and Advocacy

11:30 – 12:30 **Lunch Presentation**

Speaker: *Gail Hillebrand*, Associate Director, Consumer Education
and Engagement
Consumer Financial Protection Bureau

12:30 – 12:45 Break

12:45 – 1:30 *Travel to the Federal Reserve (Travel by Bus)*

1:30 – 2:00 Check-in through security at the Federal Reserve

2:00 – 3:00 **Structure and Functions of the Federal Reserve**

Speaker: *Sara Messina*, Public Affairs Specialist, Office of Public
Affairs
Federal Reserve

3:00 – 4:00

Current Economic Conditions and Monetary Policy

Speaker: *David Lebow*, Associate Director, Division of Research and
Statistics
Federal Reserve

4:00 – 4:30

Day Three Wrap-Up (*Bus back to SEC*)

Friday, July 29, 2011

<i>Location:</i>	<i>Multipurpose Room, Lower Level, SEC</i>
8:00 – 9:00	Check-in, Continental Breakfast, and Day 4 Overview
9:00 – 9:50	Overview of the North American Securities Administrators Association Speaker: <i>Daphne Smith</i> , Assistant Commissioner for Securities, Tennessee
9:50 – 10:00	Break
10:00 – 10:50	Securities Industry Panel Speakers: <i>Kevin Carroll</i> , Managing Director and Associate General Counsel Securities Industry and Financial Markets Association <i>Bob Grohowski</i> , Senior Counsel Investment Company Institute
10:50 – 11:00	Break
11:00 – 11:45	Closing Remarks Speaker: <i>Luis Aguilar</i> , Commissioner U.S. Securities and Exchange Commission
11:45 – 12:30	Lunch Presentation: Investor Education and Program Evaluation Speaker: <i>Lori Schock</i> , Director SEC Office of Investor Education and Advocacy
12:30 – 1:00	Presentation of Certificates and Conclusion

SEC Headquarters

100 F St NE

Washington, DC 20549

Entrance located on F St NE at the intersection with 1st St NE

Department of the Treasury

1500 Pennsylvania Ave NW

Washington, DC 20220

Entrance located on Pennsylvania Ave NW near the intersection of 15th St NW

Financial Industry Regulatory Authority (FINRA)

1735 K St NW

Washington, DC 20006

Entrance located on K St NW near the intersection of 17th St NW/Connecticut Ave NW

The Federal Reserve

20th St NW and Constitution Avenue NW

Washington, DC 20551

Entrance located on C St NW between 20th St NW and 21st St NW